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# NASA Procedural Requirements

**COMPLIANCE IS MANDATORY**

**NPR 3430.1C**  
Effective Date: May 01, 2007  
Expiration Date: May 01,  
2012

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## **Subject: NASA Employee Performance Communication System (EPCS) - EFFECTIVE MAY 1, 2007**

**Responsible Office: Office of Human Capital Management**

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## **CHAPTER 7. Employee Performance Files (Written or Otherwise Recorded)**

7.1 Center Human Resources Directors shall establish written procedures for the maintenance and retention of a performance file for each employee covered by this NPR. An Employee Performance File shall be available to:

7.1.1 Agency officials having a need for the information.

7.1.2 Employees and, as appropriate, an employee's designated personal representative.

7.1.3 Support actions based on the records.

7.1.4 The OPM in connection with its personnel management evaluation role.

7.2 The Rating Official must provide to an employee the following documents at the time they are prepared:

7.2.1 A draft performance plan with an opportunity to provide input/feedback.

7.2.2 A performance summary rating, including the narrative summary, for the appraisal period and the performance plan that identifies the performance element ratings upon which the Rating of Record was based.

7.2.3 An Individual Development Plan, if applicable.

7.2.4 Any documentation of performance deficiency, if applicable.

7.3 Performance-related records shall, at a minimum, include:

7.3.1 The Rating of Record, including the narrative summary, for the appraisal period and the performance plan on which it was based.

7.3.2 When provided, input from the employee regarding accomplishments relative to the performance elements and standards of the performance plan.

7.3.3 Written input from the Project Manager(s) to which the employee is/has been matrixed to or the supervisor of a position or to a set of duties that the employee is/has been detailed to or transferred from.

7.3.4 Any customer and/or employee feedback and any analysis of personnel data considered and impacting the determination of the performance summary rating level assigned.

7.3.5 When provided, the employee's response to any deficiency documented by the Rating Official during the appraisal period.

7.4 Performance-related records may include, but are not limited to:

7.4.1 Recommendations for awards, QSIs, promotions, denial of within-grade increases, reduction to a lower grade,

reassignments, and removals, including supporting documentation.

7.4.2 Recommendations for training that are performance related or for developmental purposes (e.g., Individual Development Plans).

7.4.3 Any document that indicates that the Rating of Record is being challenged under administrative procedures (e.g., when the employee files a grievance on the performance summary rating received).

7.4.4 Records concerning performance during the supervisory or managerial probationary period or the employee's initial period of probation after appointment to a position.

7.4.5 Advice and counseling records that are based on work performance.

7.4.6 The Employee Performance Files must be maintained for no less than four years from the date the Rating of Record is issued. Such records shall be maintained and destroyed in accordance with the requirements of this NPR, the NASA Privacy Policy, and Office of Personnel Management (OPM) Government-wide system of records' (OPM/GOVT-2) requirements, and other applicable regulations.

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